IAPD Report

ROBERT JAY EIDE

CRD# 1015261

Section Title	Page(s)

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

ROBERT JAY EIDE (CRD# 1015261)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **02/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AEGIS CAPITAL CORP.	CRD# 15007	07/20/1984
IA	AEGIS CAPITAL CORP.	CRD# 15007	06/18/2008

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and 3 jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	LADENBURG, THALMANN & CO., INC.	505	NEW YORK, NY	05/26/1995 - 10/20/1997
B	MAYER AND MEYER RESOURCES, INC.	13084	NEW YORK, NY	12/13/1983 - 10/01/1984
B	MUTUAL BENEFIT FINANCIAL SERVICE COMPANY	4882	NEW YORK, NY	11/15/1981 - 12/13/1983

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Customer Dispute	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **3** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**

Main Address: 1345 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10105

Firm ID#: 15007

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	07/20/1984
B	FINRA	Invest. Co and Variable Contracts	Approved	07/20/1984
B	FINRA	General Securities Representative	Approved	03/06/1995
B	FINRA	General Securities Principal	Approved	03/20/1998
B	FINRA	Operations Professional	Approved	10/27/2011
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/22/2004
B	Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
IA	California	Investment Adviser Representative	Approved	06/18/2008
B	Florida	Agent	Approved	04/02/1987
B	New York	Agent	Approved	04/30/1987

Branch Office Locations

AEGIS CAPITAL CORP.
1345 AVENUE OF THE AMERICAS

Qualifications

27TH FLOOR
NEW YORK, NY 10105

AEGIS CAPITAL CORP.
1345 Avenue of the Americas
27th Floor
NEW YORK, NY 10105

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 5 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	03/19/1998

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	03/04/1995
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/14/1982
B	Direct Participation Programs Representative Examination (S22)	Series 22	10/29/1981

State Securities Law Exams

Exam	Category	Date
No information reported.		

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/26/1995 - 10/20/1997	LADENBURG, THALMANN & CO., INC.	CRD# 505	NEW YORK, NY
B	12/13/1983 - 10/01/1984	MAYER AND MEYER RESOURCES, INC.	CRD# 13084	
B	11/15/1981 - 12/13/1983	MUTUAL BENEFIT FINANCIAL SERVICE COMPANY	CRD# 4882	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/1981 - Present	AEGIS CAPITAL CORP.	PRESIDENT AND CHIEF EXECUTIVE OFFICER	Y	NEW YORK, NY, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1) NATHANS FAMOUS INC, ONE JERICHO PLAZA, SECOND FLOOR JERICHO NY 11753; FOOD SERVICE INDUSTRY NON-INVESTMENT RELATED; INDEPENDENT OUTSIDE DIRECTOR, MEMBER AUDIT COMMITTEE, MEMBER COMPENSATION COMMITTEE, MEMBER NOMINATING COMMITTEE; START DATE: JULY 1987; 2 HOURS QUARTERLY DEVOTED TO BUSINESS, ZERO HOURS DURING SECURITIES TRADING HOURS EXCEPT TO ANSWER OCCASSIONAL E-MAIL OR PHONE CALL.

2) ROBERT J. EIDE ESQ. PC., SAGAPONACK, NY; ATTORNEY LICENSED TO PRACTICE IN NEW YORK, INVESTMENT RELATED - REPRESENTING FINANCIAL SERVICE CLIENTS, SOLE PROPRIETOR; START DATE: 1978; 20-100+ HOURS PER MONTH DEVOTED TO BUSINESS; HOURS DURING SECURITIES TRADING HOURS VARIES DEPENDING ON CIRCUMSTANCES.

3) OXBRIDGE CAPITAL MANAGEMENT LLC, SAGAPONACK, NY; PRESIDENT OF THE MANAGING MEMBER, INVESTMENT RELATED - CURRENTLY IN LIQUIDATION; START DATE: 2004; 1 HOUR PER MONTH DEVOTED TO BUSINESS NON-SECURITIES TRADING HOURS.

4) STRATEGIC ASSOCIATES LTD; SAGAPONACK, NY; NON INVESTMENT RELATED, PRESIDENT, CONSULTING; START DATE: 02/12/2004; HOURS VARY FROM MONTH TO MONTH - NON-SECURITIES TRADING HOURS.

5) ISAGEN, LLC; SAGAPONACK, NY; INVESTMENTS INCLUDING STOCKS AND BONDS; MANAGER; START DATE 02/24/2014; 1-2 HOURS PER MONTH DEVOTED TO BUSINESS DURING NON-SECURITIES TRADING HOURS.

6) PEMBROKE & PARTNERS LLC, 1345 6TH AVE., 27TH FL, NEW YORK, NY 10105; INVESTMENT-RELATED; ENTITY FORMED TO MAKE INVESTMENTS; SOLE MEMBER; MANAGER; START DATE: 02/11/2025; 1-2 HOURS PER MONTH

Registration & Employment History

OTHER BUSINESS ACTIVITIES

DEVOTED TO BUSINESS; 1-2 HOURS PER MONTH DURING SECURITIES TRADING HOURS

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
    - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
    - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Cease and Desist
Date Initiated:	03/28/2018
Docket/Case Number:	3-18413
Employing firm when activity occurred which led to the regulatory action:	Aegis Capital Corporation
Product Type:	Other: unspecified
Allegations:	SEC Admin Release 34-82957/ March 28, 2018: The Securities and Exchange Commission ("Commission") deems it appropriate that public administrative and cease-and-desist proceedings be, and hereby are, instituted pursuant to Sections 15(b) and 21C of the Securities Exchange Act of 1934 ("Exchange Act"), Section 203(f) of the Investment Advisers Act of 1940 ("Advisers Act"), and Section 9(b) of the Investment Company Act of 1940 ("Investment Company Act") against Robert Eide and another individual (collectively "Respondents"). The Commission finds that this matter involves the conduct of two senior persons in connection with anti-money laundering ("AML") compliance failures at Aegis Capital Corporation ("Aegis" or "the firm"), a registered broker-dealer: the firm's AML Compliance Officer ("AML CO") from June 2012 to mid-2013 and Robert Eide ("Eide"), who serves as the firm's Chief Executive Officer ("CEO"). From at least late 2012 through early 2014, Aegis failed to file Suspicious Activity Reports ("SARs") on hundreds of transactions when it knew, suspected, or had reason to suspect that the transactions involved the use of the broker-dealer to

	facilitate fraudulent activity or had no business or apparent lawful purpose. Many of the transactions involved red flags of potential market manipulation, including high trading volume in companies with little or no business activity during a time of simultaneous promotional activity. Aegis did not file SARs on these transactions even when it specifically identified AML red flags implicated by these transactions in its written supervisory procedures. Under Aegis' written supervisory procedures, the firm's AML COs and then another former AML CO ("Former AML CO")) were responsible for filing SARs on the firm's behalf. Throughout the relevant period, Aegis' AML CO and the Former AML CO became aware of transactions that exhibited numerous AML red flags through alerts from Aegis' clearing firms (hereinafter defined as "AML Alerts"). Aegis' AML CO and the Former AML CO were the primary points of contact for the clearing firms as it related to suspicious activity. Although the AML Alerts raised many red flags - including many red flags listed in Aegis' written supervisory procedures as examples of suspicious activities - Aegis' AML CO and the Former AML CO did not file SARs on Aegis' behalf regarding these transactions and they did not create written analyses or compile other records indicating that they considered filing SARs. Throughout the relevant period, Eide was alerted to at least some of these suspicious low-priced securities transactions as well, but he failed to take adequate steps to ensure that Aegis was filing the requisite SARs. For example, in January 2013, Aegis' clearing firm began identifying red flags in Aegis' low-priced securities business and communicated them to Aegis personnel through the AML Alerts. Then, in a January 2014 letter directly addressed to Eide, the Commission's Office of Compliance Inspections and Examinations ("OCIE") identified serious deficiencies in Aegis' SAR-filing practices related to its low-priced securities business. Although subsequent suspicious transactions occurred at Aegis, the firm did not file SARs regarding those transactions. As a result, Eide was a cause of Aegis' violations of Section 17(a) of the Exchange Act and Rule 17a-8 thereunder.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/28/2018
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$40,000.00

Portion Levied against individual:	$40,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	Respondents have submitted Offers of Settlement ("Offers"), which the Commission has determined to accept. It is ordered that Eide shall cease and desist from committing or causing any violations and any future violations of Section 17(a) of the Exchange Act and Rule 17a-8 thereunder. Eide shall pay a civil money penalty in the amount of $40,000 to the Securities and Exchange Commission .

Reporting Source:	Individual
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Cease and Desist
Date Initiated:	03/28/2018
Docket/Case Number:	3-18413
Employing firm when activity occurred which led to the regulatory action:	Aegis Capital Corporation
Product Type:	Other: Unspecified
Allegations:	SEC Admin Release 34-82957/ March 28, 2018: The Securities and Exchange Commission ("Commission") deems it appropriate that public administrative and cease-and-desist proceedings be, and hereby are, instituted pursuant to Sections 15(b) and 21C of the Securities Exchange Act of 1934 ("Exchange Act"), Section 203(f) of the Investment Advisers Act of 1940 ("Advisers Act"), and Section 9(b) of the Investment Company Act of 1940 ("Investment Company Act") against Robert Eide and another individual (collectively "Respondents"). The Commission finds that this matter involves the conduct of two senior persons in connection with anti-money laundering ("AML") compliance failures at Aegis Capital Corporation ("Aegis" or "the firm"), a registered broker-dealer: the firm's AML Compliance Officer ("AML CO") from June 2012 to mid-2013 and Robert Eide ("Eide"), who serves as the firm's Chief Executive Officer ("CEO"). From at least late 2012 through early 2014, Aegis failed to file Suspicious Activity Reports ("SARs") on hundreds of transactions when it knew, suspected, or had reason to suspect that the transactions involved the use of the broker-dealer to facilitate fraudulent activity or had no business or apparent lawful purpose. Many of the transactions involved red flags of potential market manipulation, including high trading volume in companies with little or no business activity during a time of simultaneous promotional activity. Aegis did not file SARs on these transactions even when it specifically identified AML red flags implicated by these transactions in its written supervisory procedures. Under Aegis' written supervisory procedures, the firm's AML COs and then another former AML CO ("Former AML CO")) were responsible for filing SARs on the firm's behalf. Throughout the relevant period, Aegis' AML CO

	and the Former AML CO became aware of transactions that exhibited numerous AML red flags through alerts from Aegis' clearing firms (hereinafter defined as "AML Alerts"). Aegis' AML CO and the Former AML CO were the primary points of contact for the clearing firms as it related to suspicious activity. Although the AML Alerts raised many red flags - including many red flags listed in Aegis' written supervisory procedures as examples of suspicious activities - Aegis' AML CO and the Former AML CO did not file SARs on Aegis' behalf regarding these transactions and they did not create written analyses or compile other records indicating that they considered filing SARs. Throughout the relevant period, Eide was alerted to at least some of these suspicious low-priced securities transactions as well, but he failed to take adequate steps to ensure that Aegis was filing the requisite SARs. For example, in January 2013, Aegis' clearing firm began identifying red flags in Aegis' low-priced securities business and communicated them to Aegis personnel through the AML Alerts. Then, in a January 2014 letter directly addressed to Eide, the Commission's Office of Compliance Inspections and Examinations ("OCIE") identified serious deficiencies in Aegis' SAR-filing practices related to its low-priced securities business. Although subsequent suspicious transactions occurred at Aegis, the firm did not file SARs regarding those transactions. As a result, Eide was a cause of Aegis' violations of Section 17(a) of the Exchange Act and Rule 17a-8 thereunder.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/28/2018
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$40,000.00
Portion Levied against individual:	$40,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	02/01/2018
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	On the advice of counsel Mr. Eide agreed to resolve the matter without admitting or denying any of the allegations. It is important to note that the matter (i) related to only 7 DVP accounts, all of which have been closed for years; (ii) no retail customers were involved nor were any customers of the firm harmed; (iii) the underlying activity took place more than 4 years earlier; (iv) the firm has long since exited this line of business; and (v) none of the accounts were clients of Mr. Eide.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	10/21/2014
Docket/Case Number:	2011026386002
Employing firm when activity occurred which led to the regulatory action:	AEGIS CAPITAL CORP.
Product Type:	No Product
Allegations:	EIDE WAS NAMED A RESPONDENT IN A FINRA COMPLAINT ALLEGING THAT HE WILLFULLY FAILED TO UPDATE HIS FORM U4 IN A TIMELY MANNER TO DISCLOSE LIENS HE WAS THE SUBJECT OF. THE COMPLAINT ALLEGES THAT SPECIFICALLY, EIDE NEVER UPDATED HIS FORM U4 TO REFLECT ANY OF THE LIENS, DESPITE HAVING NOTICE THAT HE HAD OR MAY HAVE HAD LEINS DURING THE TIME THEY WERE UNSATISFIED.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/03/2015
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	15 BUSINESS DAYS
Start Date:	09/14/2015

End Date:	10/02/2015
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$15,000.00
Portion Levied against individual:	$15,000.00
Payment Plan:	
Is Payment Plan Current:	No
Date Paid by individual:	09/09/2015
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, EIDE CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE FAILED TO TIMELY UPDATE HIS FORM U4 TO DISCLOSE TAX LIENS. Fine paid in full on September 9, 2015.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	10/21/2014
Docket/Case Number:	2011026386002
Employing firm when activity occurred which led to the regulatory action:	AEGIS CAPITAL CORP.
Product Type:	No Product
Allegations:	MR. EIDE WAS NAMED AS A RESPONDENT IN A FINRA COMPLAINT ALLEGING THAT HE WILLFULLY FAILED TO UPDATE HIS FORM U4 IN A TIMELY MANNER TO DISCLOSE LIENS HE WAS THE SUBJECT OF. THE COMPLAINT ALLEGES THAT SPECIFICALLY, MR. EIDE NEVER UPDATED HIS FORM U4 TO REFLECT ANY OF THE LIENS, DESPITE HAVING NOTICE THAT HE HAD OR MAY HAVE HAD LIENS DURING THE TIME THEY WERE UNSATISFIED.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/03/2015

Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	15 BUSINESS DAYS
Start Date:	09/14/2015
End Date:	10/02/2015
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$15,000.00
Portion Levied against individual:	$15,000.00
Payment Plan:	
Is Payment Plan Current:	No
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	MR. EIDE, WITHOUT ADMITTING OR DENYING, AGREED TO RESOLVE THE MATTER WITH FINRA WHEREBY HE AGREED TO A NON-WILLFUL FINDING THAT HE DID NOT DISCLOSE THREE TAX LIENS. THE LIENS WERE ALL SATISFIED IN FULL PRIOR TO THE COMMENCEMENT OF FINRA'S INVESTIGATION. MOREOVER, AND ADDITIONALLY, MR. EIDE NEVER HAD ACTUAL KNOWLEDGE OF THE LIENS UNTIL AFTER THEY WERE SATISFIED.

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AEGIS CAPITAL CORP.
Allegations:	Time frame: June 2020 - present. Claimant alleges unsuitable investments.
Product Type:	Other: Private Placement
Alleged Damages:	$4,095,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA, Boca Raton FL
Docket/Case #:	24-02534
Date Notice/Process Served:	12/03/2024
Arbitration Pending?	Yes
Broker Statement	Mr. Eide was not the registered representative for this customer. Mr. Eide was named in this action due to his title as CEO of the firm. He does not service customer accounts. Additionally, Mr. Eide does not have any supervisory responsibility for any customer of the firm. The claim against Mr. Eide is meritless and wholly unsupported by the facts and the law.

End of Report

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